

Please type a plus sign (+) inside this box → ☐UTILITY  
PATENT APPLICATION  
TRANSMITTAL

Attorney Docket No. 146712002600

First Inventor Li-Lien LEE et al

Title NIOBIUM ALLOY SEEDLAYER FOR MAGNETIC RECORDING MEDIA

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Express Mail Label No.

## CERTIFICATE OF HAND DELIVERY

I hereby certify that this correspondence is being hand filed with the United States Patent and Trademark Office in Washington, D.C. on September 28, 2001.

Anika Shopshire

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 202311. ☒ Fee Transmittal Form (e.g. PTO/SB/17)

(Submit an original, and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.

See 37 CFR 1.27

3. ☒ Specification [Total Pages 28 ]

(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the invention
- Brief Summary of the invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 USC 113) [Total Sheets 6 ]

5. Oath or Declaration [Total Pages 2 ]

a. ☒ Newly executed (original or copy)b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)i. ☐ DELETION OF INVENTOR(S)

Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)

6. ☒ Application Data Sheet. See 37 CFR 1.767. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission

(if applicable, all necessary)

a. ☐ Computer Readable Form (CRF)

b. Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); orii. ☐ paperc. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))10. ☐ 37 CFR 3.73(b) Statement  
(where there is an assignee)☐ Power of Attorney11. ☐ English Translation document (if applicable)12. ☒ Information Disclosure Statement  
(IDS)/PTO-1449☒ Copies of IDS  
Citations13. ☐ Preliminary Amendment14. ☒ Return Receipt Postcard (MPEP 503)  
Should be specifically itemized15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)16. ☒ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant  
must attach form PTO/SB/35 or its equivalent.17. ☐ Other

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76

☐ Continuation☐ Divisional☐ Continuation-in-part (CIP)

of prior application No. \*

Prior application information

Examiner \*

Group / Art Unit \*

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Labelor ☐ Correspondence address below

25227

PATENT TRADEMARK OFFICE

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Fax

Name (Print/Type)

Raj S. Dave

Registration No. (Attorney/Agent)

42,465

Signature

Date September 28, 2001

# FEE TRANSMITTAL FOR FY 2001

Patent fees are subject to annual revision

## Complete if Known

Application Number	To Be Assigned
Filing Date	September 28, 2001
First Named Inventor	Li-Lien LEE et al.
Examiner Name	To Be Assigned
Group Art Unit	To Be Assigned
Attorney Docket No	146712002600

TOTAL AMOUNT OF PAYMENT

(\$750.00)

### METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to.

Deposit Account Number **03-1952**

Deposit Account Name **Morrison & Foerster LLP**

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status See 37 CFR 1.27

2. ☐ Payment Enclosed:

- ☐ Check ☐ Credit Card ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$710.00)

#### 2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
20	3		0	x	\$0
			0	x	\$0
					\$

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claims, if not paid	
109	80	209	40	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$)

\*\* or number previously paid, if greater; For reissues, see above.

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions of the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per properties (times number of properties)	40.00
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$40.00)

### SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	<b>Rai S. Davé</b>	Registration No. (Attorney/Agent)	<b>42,465</b>	Telephone	<b>(202) 887-8798</b>
Signature	<i>Rai S. Davé</i>			Date	<b>September 28, 2001</b>

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**REQUEST AND CERTIFICATION UNDER  
35 USC 122(b)(2)(B)(i)**

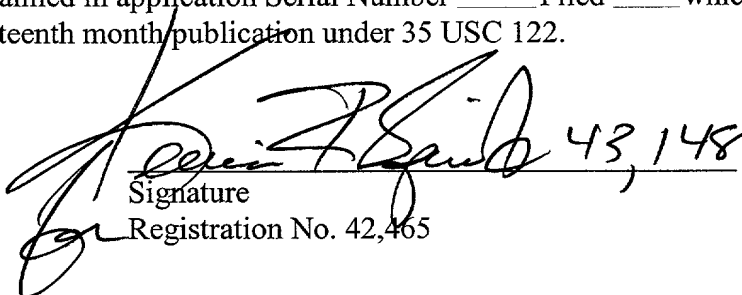
First Named Inventor: Li-Lien LEE et al.
Title : NIOBIUM SEEDLAYER FOR MAGNETIC RECORDING MEDIA
Atty Docket Number: 146712002600

I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application **not** be published under 35 USC 122(b).

In making this certification I understand that "the invention disclosed in the attached application" is the invention first disclosed and claimed in the attached application and not the common disclosure of a distinct invention claimed in application Serial Number \_\_\_\_\_ Filed \_\_\_\_\_ which is subject to foreign filing and eighteenth month publication under 35 USC 122.

September 28, 2001

Date

 43,148  
Signature  
Registration No. 42,465

Raj S. Davé, J.D., Ph.D.  
[Typed or printed name]

This request is signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this non publication request at any time. If applicant rescinds a request that an application not be published under 35 USC 122(b), the application will be scheduled for publication at eighteen months from the earliest filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. Failure to do so will result in abandonment of this application (35 USC 122(b)(2)(B)(iii)).